

IN THE UNITED STATES PATENT AND
TRADEMARK OFFICE

UTILITY PATENT

Applicant(s): Suresh Golwalkar, Noah Davis, John Burns, Kannan Raj, Phil McClay, Wuchun Chou, and Jonathan McFarland Atty Docket No.: 35706.9100

Serial No.: TBA Examiner: TBA

Filed: Herewith Group Art Unit: TBA

TITLE: APPARATUS FOR COUPLING A FIBER OPTIC CABLE TO AN OPTOELECTRONIC DEVICE, A SYSTEM INCLUDING THE APPARATUS, AND A METHOD OF FORMING THE SAME

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **APPARATUS FOR COUPLING A FIBER OPTIC CABLE TO AN OPTOELECTRONIC DEVICE, A SYSTEM INCLUDING THE APPARATUS, AND A METHOD OF FORMING THE SAME**, the specification of which:

☒ is attached hereto.
☐ was filed on _____ as Application Serial No. _____ and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with 37 C.F.R. §1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed.

None			Priority Not Claimed
<input type="checkbox"/>			<input type="checkbox"/>
Number	Country	Filing Date	
<input type="checkbox"/>			<input type="checkbox"/>

Number

Country

Filing Date

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below.

None

Application Number

Filing Date

Application Number

Filing Date

I hereby claim the benefit under 35 U.S.C. §120 of any United States application(s), or §365© of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of 35 U.S.C. §112, I acknowledge the duty to disclose material information as defined in 37 C.F.R. §1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application.

None

Application Serial No.

Filing Date

Status — Patent, Pending, Abandoned

Application Serial No.

Filing date

Status — Patent, Pending, Abandoned

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

First Named Inventor: Suresh Golwalkar

Signature: _____ Date: _____

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Citizenship: United States

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Signature: _____ Date: _____

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Citizenship: United States

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Third Named Inventor: John Burns

Signature: _____ Date: _____

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Fourth Named Inventor: Kannan Raj

Signature: _____ Date: _____

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Citizenship: United States

Fifth Named Inventor: Phil McClay

Signature: _____ Date: _____

Residence address: 16117 E. Andrew Drive; Fountain Hills, Arizona 85268

Citizenship: United States

Sixth Named Inventor: Wuchun Chou

Signature: _____ Date: _____

Residence address: 3540 S. Camellia Place; Chandler, Arizona 85248

Citizenship: United States

Seventh Named Inventor: Jonathan McFarland

Signature: _____ Date: _____

Residence address: 9607 S. 43rd Place; Phoenix, Arizona 85224

Citizenship: United States

09911918-072401

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) AND 1.27 (c)) - SMALL BUSINESS CONCERN			Docket No. 35706.9100
Serial No. To Be Assigned	Filing Date Herewith	Patent No.	Issue Date
Applicant/ Patentees: Suresh Golwalkar, Noah Davis, John Burns, Kannan Raj, Phil McClay, Wuchun Chou, and Jonathan McFarland			
Invention: APPARATUS FOR COUPLING A FIBER OPTIC CABLE TO AN OPTOELECTRONIC DEVICE, A SYSTEM INCLUDING THE APPARATUS, AND A METHOD OF FORMING THE SAME			
<p>I hereby declare that I am:</p> <p><input type="checkbox"/> the owner of the small business concern identified below:</p> <p><input checked="" type="checkbox"/> an official of the small business concern empowered to act on behalf of the concern identified below:</p> <p>NAME OF CONCERN: <u>Primarion, Inc.</u></p> <p>ADDRESS OF CONCERN: <u>2705 West Geneva; Tempe, Arizona 85282</u></p> <p>I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.</p> <p>I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the above identified invention described in:</p> <p><input checked="" type="checkbox"/> the specification filed herewith with title as listed above.</p> <p><input type="checkbox"/> the application identified above.</p> <p><input type="checkbox"/> the patent identified above.</p> <p>If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed on the next page and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).</p> <p>Express Mail #EL214097035US</p>			

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☒ no such person, concern or organization exists.
☐ each such person, concern or organization is listed below.

FULL NAME
ADDRESS

☐ Individual

☐ Small Business Concern

☐ Nonprofit Organization

FULL NAME
ADDRESS

☐ Individual

☐ Small Business Concern

☐ Nonprofit Organization

FULL NAME
ADDRESS

☐ Individual

☐ Small Business Concern

☐ Nonprofit Organization

FULL NAME
ADDRESS

☐ Individual

☐ Small Business Concern

☐ Nonprofit Organization

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING:

Dan Clarke

TITLE OF PERSON SIGNING

OTHER THAN OWNER:

President

ADDRESS OF PERSON SIGNING:

2507 West Geneva
Tempe, AZ 85282

SIGNATURE:

[Signature]

DATE:

July 24, 2001

Express Mail #EL214097035US

Applicant(s): Suresh Golwalkar, Noah Davis, John Burns, Atty Docket No.: 35706.9100
Kannan Raj, Phil McClay, Wuchun Chou, and
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DEVICE, A SYSTEM INCLUDING THE APPARATUS, AND A METHOD OF
FORMING THE SAME

**POWER OF ATTORNEY BY ASSIGNEE AND
CERTIFICATE UNDER 37 CFR 3.73(b)**

Dan Clarke, of PRIMARION, INC., of Tempe, Arizona, hereby certifies that, to the best of his or her knowledge and belief, the entire right, title, and interest in the above-captioned United States patent application is in Assignee, PRIMARION, INC..

Ownership of the above-identified patent application is established by virtue of the following documentary evidence that has been reviewed by the undersigned:

An assignment from the inventor(s) of the patent application identified above. A copy of the executed assignment is attached.

PRIMARION, INC., the Assignee of the entire right, title, and interest in and to the above-captioned United States patent application and all inventions disclosed and claimed therein, hereby appoints as its attorneys to prosecute the above-captioned United States patent application and to transact all business in the United States Patent and Trademark Office connected therewith and with the resulting patent, individually and collectively:

SNELL & WILMER L.L.P.
One Arizona Center
400 East Van Buren
Phoenix, Arizona 85004-0001
Tel. (602) 382-6000
Fax (602) 382-6070;

and the registered attorneys associated with Snell & Wilmer's Customer Number 020322.

Please send all further correspondence to Snell & Wilmer L.L.P. at the above address.

By: Dan Clarke

Title: President

Date: July 24, 2001

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